



16076 U.S. PTO

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	HSJ920030266US1
First Inventor	Bruce David Terris
Title	THERMALLY-ASSISTED PERPENDICULAR MAGNETIC RECORDING SYSTEM AND HEAD
Express Mail Label No.	EL 995203093 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **18**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **2**]
5. Oath or Declaration [Total Pages **2**]
 - a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
 - b. ☐ (for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information:

Examiner: _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Thomas R. Berthold				
Address	18938 Congress Junction Ct.				
City	Saratoga	State	CA	Zip Code	95070
Country	USA	Telephone	(408) 396-8411	Fax	(408) 804-8605

Name (Print/Type)	Douglas R. Millett	Registration No. (Attorney/Agent)	31,784
Signature		Date	2/27/04

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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PTO/SB/17 (10-01)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
for FY 2004**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 882.00**Complete if Known**

Application Number	
Filing Date	
First Named Inventor	Bruce David Terris
Examiner Name	
Group Art Unit	
Attorney Docket No.	HSJ920030266US1

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **802567**Deposit Account Name **Hitachi Global Storage Technologies**

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	770.00
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$) 770.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
24	-20** = 4	18.00	72.00
3	-3** = 0	88.00	0.00
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 72.00


**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051	130 205 65	Surcharge - late filing fee or oath	
1052	50 227 25	Surcharge - late provisional filing fee or cover sheet	
1053	130 139 130	Non-English specification	
1812	2,520 147 2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920* 112 920*	Requesting publication of SIR prior to Examiner action	
1805	1,840* 113 1,840*	Requesting publication of SIR after Examiner action	
1251	110 215 55	Extension for reply within first month	
1252	420 216 205	Extension for reply within second month	
1253	950 217 465	Extension for reply within third month	
1254	1,480 218 725	Extension for reply within fourth month	
1255	2,010 228 985	Extension for reply within fifth month	
1401	330 219 160	Notice of Appeal	
1402	330 220 160	Filing a brief in support of an appeal	
1403	290 221 140	Request for oral hearing	
1451	1,510 138 1,510	Petition to institute a public use proceeding	
1452	110 240 55	Petition to revive - unavoidable	
1453	1,330 241 650	Petition to revive - unintentional	
1501	1,330 242 650	Utility issue fee (or reissue)	
1502	480 243 235	Design issue fee	
1503	640 244 310	Plant issue fee	
1460	130 122 130	Petitions to the Commissioner	
1807	50 123 50	Processing fee under 37 CFR 1.17(q)	
1806	180 126 180	Submission of Information Disclosure Stmt	
8021	40 581 40	Recording each patent assignment per property (times number of properties)	40
1809	770 246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770 249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770 279 375	Request for Continued Examination (RCE)	
1802	900 169 900	Request for expedited examination of a design application	
Other fee (specify) _____			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.00**SUBMITTED BY**

Name (Print/Type)	Douglas R. Millett	Registration No. (Attorney/Agent)	31,784	Telephone	(408) 717-5491
Signature		Date	2/27/04		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of :
Bruce David Terris et al. : Group Art Unit: Not Yet Assigned
Serial No. Not Yet Assigned : Examiner: Not Yet Assigned

For: "Thermally-Assisted Perpendicular Magnetic Recording System And Head"

Assistant Commissioner of Patents and Trademarks
Alexandria, VA 22313-1450

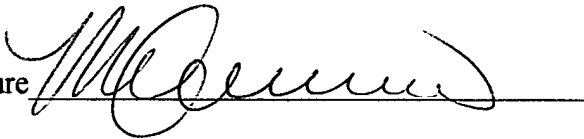
EXPRESS MAIL CERTIFICATE

I hereby certify that the above paper/fee is being deposited with the United States Postal Service as _Express Mail Post Office to Addressee_ service in an envelope addressed to the Assistant Commissioner for Patents and Trademarks, Alexandria, VA 22313-1450 on February 27, 2004.

Express Mail NO.: EL 995203093 US

Person mailing paper/fee: Mary Lou Domenici

Signature

A handwritten signature in cursive script, appearing to read 'Mary Lou Domenici', written over a horizontal line.